



United States Environmental Protection Agency
Washington, DC 20460

Work Assignment

Work Assignment Number

3-33

☐ Other ☐ Amendment Number:

Contract Number

EP-W-10-002

Contract Period 11/19/2009 To 09/19/2014

Base

Option Period Number 3

Title of Work Assignment/SF Site Name

RI Stormwater Eval

Contractor:

INDUSTRIAL ECONOMICS, INCORPORATED

Specify Section and paragraph of Contract SOW

Pg. 10 11, element 3, Sec. 1/Para. 1

Purpose:



Work Assignment



Work Assignment Close Out



Work Assignment Amendment



Incremental Funding



Work Plan Approval

Period of Performance

From 09/20/2012 To 11/18/2012

Comments:

The purpose of this action is to initiate Work Assignment (WA) 3-33 which continues but does not duplicate work previously performed under WA 2-33.



Superfund

Accounting and Appropriations Data



Non Superfund

SFO
(Max 2)



Note: To report additional accounting and appropriations data use EPA Form 1900-69A.

Line	DCN (Max 6)	Budget/FY (Max 4)	Appropriation Code (Max 6)	Budget Org/Code (Max 7)	Program Element (Max 9)	Object Class (Max 4)	Amount (Dollars)	(Cents)	Site/Project (Max 8)	Cost Org/Code (Max 7)
1										
2										
3										
4										
5										

Authorized Work Assignment Ceiling

Contract Period:

Cost/Fee:

LOE:

11/19/2009 to 09/19/2014

This Action:

Total:

Work Plan / Cost Estimate Approvals

Contractor WP Dated

Cost/Fee:

LOE:

Cumulative Approved:

Cost/Fee:

LOE:

Work Assignment Manager Name: Carl Koch

Branch/Mail Code:

Phone Number: 202-566-2972

FAX Number:

(Signature)

(Date)

Project Officer Name: Cheryl R. Brown

Branch/Mail Code:

Phone Number: 202-566-0940

FAX Number:

(Signature)

(Date)

Other Agency Official Name:

Branch/Mail Code:

Phone Number:

FAX Number:

(Signature)

(Date)

Contracting Official Name: Stephen Martinyan

Branch/Mail Code:

Phone Number: 202-564-1987

FAX Number:

(Signature)

(Date)

Work Assignment Statement of Work - Amended

Title: Effective Approaches to Establishing Municipal Stormwater Funding Mechanisms (Region 1)

Contractor: IEc, Inc. **Contract No.:** EP-W-10-002

Work Assignment Number: **3-33**

Estimated Period of Performance: September 20, 2012 to November 18, 2012

Estimated Level of Effort: 277.20 hours

Key EPA Personnel:

Work Assignment COR (WA COR): Carl Koch
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U.S. EPA
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Contract Level COR: Cheryl R. Brown
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BACKGROUND AND PURPOSE:

Located within the Office of Policy (OP)'s Office of Strategic Environmental Management is the Evaluation Support Division (ESD). ESD's mission is to build the capacity of EPA staff and managers to conduct program evaluation activities throughout the Agency by providing technical support and training on program evaluation for EPA's national programs and regional offices. A crucial component in assessing the benefit of meeting goals, objectives, and sub-objectives is having measurable results.

As part of its effort to encourage the effective use of program evaluations throughout the Agency, ESD promotes program evaluation through a Program Evaluation Competition (PEC or Competition). This Competition is part of an ongoing, long-term effort to help build the capacity of headquarters and regional offices to evaluate activities and to improve measures of program performance. This program evaluation project was chosen for support under the current Program Evaluation Competition sponsored by OP.

There are major challenges faced by small municipal separate storm sewer systems (MS4) in forging consensus and managing complicated negotiations associated with the development of

funding mechanisms for stormwater utilities. Many MS4 municipalities do not have the expertise to design or run such processes, and EPA lacks objective information about what are (and are not) effective strategies for forging consensus in the development of these funding mechanisms.

EPA Region 1, with the Office of Water's full support, is proposing an objective evaluation that focuses on the processes that communities have undertaken to involve members of the public and other stakeholders in reaching agreement on funding mechanisms for stormwater utilities. A rigorous evaluation will (1) document issues and challenges faced by municipalities and communities around the country, (2) identify approaches where resolutions were reached, and (3) offer guidance that other communities may need to consider as they grapple with decisions on whether or not to adopt a funding mechanism.

Evaluation questions include: What were the key issues raised by stakeholders? How were discussions set up? What kinds of groups favored or opposed the effort? How did they respond? How did the community identify a common set of interests? What processes were used to inform communities as they engaged in their discussion?

While the evaluation will help EPA Region 1 identify the factors that are proving the most critical to the development of stormwater funding mechanisms, the evaluation results will inform national efforts to identify "best practices" that lead to effective stormwater programs.

Quality Assurance (QA) Requirements

Check ☐ Yes or ☒ **NO**, if the following statement is true or false. The Contractor shall submit a written Quality Assurance Project Plan for any project that is developing environmental measurements or a Quality Assurance Supplement to the Quality Management Plan for any project which generates environmental data using models with their technical proposal.

Qualification Criteria for Personnel

The team assigned to this work assignment collectively must have expertise in the following areas:

- a. EPA OW program activities –specifically, the stormwater permit program, NPDES permits to municipalities, municipal separate storm sewer systems (MS4s), and stormwater utility funding mechanisms
- b. Evaluation of EPA programs
- c. Engagement of affected communities in EPA program work, ideally OSWER program implementation
- d. Engagement of affected communities in EPA's decision making processes
- e. Engagement of economically disadvantaged communities
- f. Processes that allow for meaningful input
- g. Formative evaluation
- h. Development of lessons and best practices

TASKS AND DELIVERABLES:

The work assignment (WA) Contracting Officer Representative (COR) will review all deliverables in draft form and provide revisions and/or comments to the contractor. The contractor shall prepare the final deliverables incorporating the WA COR's comments.

Contractor personnel shall at all times identify themselves as Contractor employees and shall not present themselves as EPA employees. Furthermore, they shall not represent the views of the U.S. Government, EPA, or its employees. In addition, the Contractor shall not engage in inherently governmental activities, including but not limited to actual determination of EPA policy and preparation of documents on EPA letterhead.

The contractor shall not duplicate work performed in the previous work assignment.

PHASE 1: INCLUDES TASK 1 AND TASK 2

TASK 1: PREPARE WORKPLAN (COMPLETED)

The contractor shall prepare a workplan that addresses amended work under Phase 2 within 15 calendar days of receipt of a work assignment signed by the Contracting Officer (CO). The workplan shall outline, describe and include the technical approach, resources, timeline and due dates for deliverables, and a detailed cost estimate by task and a staffing plan for the additional work. The WA COR and the Contract Level COR and the CO will review the workplan.

However, only the CO can approve/ disapprove the workplan. The contractor shall prepare a revised workplan incorporating the Contracting Officer's comments, if required.

Deliverables and Schedule Under Task 1

- | | |
|----------------------|---|
| 1a. Workplan | Within 15 calendar days of receipt of work assignment. |
| 1b. Revised workplan | Within 5 calendar days of receipt of comments from the CO, if required. |

NOTE REGARDING WORK ASSIGNMENT DELIVERABLES AND TECHNICAL DIRECTION:

The Work Assignment Contracting Officer's Representative (COR) is authorized to issue technical direction (TD) under this work assignment. The COR will follow-up all oral technical direction in writing within 5 days.

TASK 2: DOCUMENT REVIEW AND DESIGN METHODOLOGY (COMPLETED)

[Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10 -11)]

No additional work under this amendment

- 2-1 PARTICIPATE IN A CONFERENCE CALL. The contractor shall participate in a conference call with the WA COR and other Agency staff to clarify the purpose of the evaluation report and to exchange ideas about the design of the assessment, the

information to be collected, potential sources of information, appropriate ways to analyze and present the information, and other pertinent matters. The COR will contact the contractor and provide the time and date for the conference call. Within 3 calendar days, the contractor shall deliver a basic summary of the discussion and decisions reached during the call. For purposes of costing the contractor shall assume two one-hour conference calls.

- 2-2 REVIEW DOCUMENTS. The WA COR will provide the contractor with relevant links and essential documents to become familiar with the history, goals and status of each program activity to be evaluated. In addition, the contractor shall conduct a literature review to determine if any existing evaluations, studies or analysis of the program have been conducted. The contractor is expected to seek out other documents for review, including those from government and non-government sources, to become familiar with all aspects of the program that are relevant to this evaluation effort. The contractor shall complete a review of these documents seven (7) calendar days after receiving them. The contractor shall also prepare and submit to the WA COR a bibliography and summary of the findings from the document and literature review. The contractor shall revise and update the bibliography periodically as additional literature sources are identified and reviewed.
- 2-3 SCOPING TASK. The contractor shall conduct a scoping exercise to better understand and identify the data sources (qualitative and/or quantitative) and data collection methods (surveys, in-person interviews, site visits, data base review or literature review, internet search, review of progress reports, etc.) that are most appropriate for this evaluation. The contractor shall prepare a brief memo summarizing the results of this effort. The contractor shall deliver the scoping document 7 calendar days after receiving a TD from the WA COR.
- 2-4 ASSIST IN DEVELOPING A LOGIC MODEL. The development of a logic model is an essential tool in developing a common understanding of a program's inputs, outputs and activities. As an initial step in preparation for the evaluation, EPA began developing a logic model of its program. EPA will share the draft logic model with the contractor. Based on the information gathered from the conference calls, (Task 2-1) and document review (Task 2-2), the contractor will develop and submit a draft logic model using software (e.g. Microsoft Word, Power Point) that can be manipulated/revise by EPA within 7 calendar days after receipt of the draft logic model from the WA COR. The development of the logic model is an iterative process. The contractor shall finalize the logic model within 7 calendar days after receipt of comments on draft(s) of the logic model from the WA COR.
- 2-5 REFINE EVALUATION QUESTIONS. EPA is providing an initial list of draft evaluation questions for use by the contractor (see below) The EPA evaluation team has identified the following key questions to provide focus to the program evaluation. These questions, while subject to further refinement, will form the basis of the evaluation going forward. The overarching questions would likely remain consistent, but the specific questions and sub-questions would be subject to revision. Using this list, the information gathered in Tasks 2-1 and 2-2, and the logic model developed in Task 2-4, the contractor shall confer with the WA COR and evaluation team members to discuss and refine the

evaluation questions that will be the subject of this evaluation. The contractor shall prepare and submit to the WA COR a revised, comprehensive set of draft evaluation questions and sub-questions that will be the subject of this evaluation. The contractor will finalize the draft questions 7 calendar days after receipt of comments from the WA COR via Technical Direction (TD).

Draft Evaluation Questions:

1. What factors are historically responsible for successes and failures of MS4s to establish dedicated stormwater program funding mechanisms?
2. What factors are considered critical to the successful creation of stormwater funding mechanisms in Region 1 and other EPA Regions?
3. What specific strategies should be selected for transferability to parties planning to create these funding mechanisms in Region 1 (includes consideration of alternative strategies - Upper Charles River pilot)?
4. What stakeholder processes were used to inform communities as they engaged in their discussions? (How were the discussions set up? Who were the critical stakeholders and what were their issues? How did the community identify a common set of interests?)

2-6 **REPORT OUTLINE.** The contractor shall submit for discussion and agreement an annotated outline describing the purpose, titles, and intended contents of the chapters and sections of the Final Report. The outline shall also describe the planned length and style of the document. The outline shall be used as a reference by the evaluation team throughout the evaluation process. Modifications to the outline shall be discussed among the entire evaluation team.

2-7 **DESIGN EVALUATION METHODOLOGY.** Based on the conference calls (2-1), the document review (Task 2-2), the scoping document (Task 2-3), the final logic model (Task 2-4), and the final evaluation questions (Task 2-5), the contractor shall prepare a draft evaluation methodology, which will address the purpose, audience, and the refined questions that will be the focus of the evaluation. As part of the methodology, the contractor shall document the primary and secondary sources, collection methods and collection strategy, appropriate qualitative and quantitative tools for analyzing data, practical issues of data collection, and a clear strategy for data documentation and management needed to answer each evaluation question. The contractor shall also document any survey instruments, survey data, survey questions, and interview/discussion guides and protocols used in support of the evaluation. This methodology shall include an approach for identifying potential interviewees. The draft evaluation methodology shall also include a proposed schedule for each of the following: (1) all information gathering under Task 3-1, including interviews; (2) the compilation, analysis and presentation of information gathered (Task 3-2), and (3) providing a report outline and the draft and final reports (Tasks 4-1, 4-2 and 4-3). The draft evaluation methodology shall be due 21 calendar days after the receipt of a TD from the WA COR. The final evaluation methodology will be due 7 calendar days after the receipt of comments from the WA COR via TD.

2-8 **EVALUATION ASSURANCE PLAN.** The contractor shall prepare an evaluation

assurance plan (EAP) that describes the use of primary and/or secondary data sources for the evaluation report. Specifically, the EAP will describe: 1) the purpose of the evaluation, 2) the methodology used to collect data for the report, 3) how and where the data used for the evaluation was collected, 4) why the particular data collection method was chosen, 5) how the data will be used and by whom, 6) how the resulting evaluation report will be used and by whom, 7) any data limitations or caveats. An example of an EAP will be provided by the COR. The contractor shall submit the EAP to the WA COR one week after the final evaluation methodology is approved. A final EAP will be delivered 3 calendar days after receipt of comments from the WA COR via TD.

Deliverables and Schedule Under Task 2

2-1a	Participate in conference call	To be specified by the WA COR
2-1b	Conference call summary	3 calendar days after call
2-2	Summary of Document Review	7 calendar days after receipt of documents
2-3	Scoping Memo	7 calendar days after receipt of TD from WA COR
2-4	Finalize Logic Model	7 calendar days after receipt of draft Logic Model from WA COR
2-5a	Draft Refined Questions	7 calendar days after meeting with WA COR
2-5b	Final Refined Questions	7 calendar days after receipt of comments from WA COR via TD
2-6a	Draft Report Outline	7 calendar days after meeting with WA COR
2-6b	Final Report Outline	7 calendar days after receipt of comments from WA COR via TD
2-7a	Draft Evaluation Methodology	21 calendar days after receipt of TD from WA COR
2-7b	Final Evaluation Methodology	7 calendar days after receipt of comments from WA COR via TD
2-8a	Draft Evaluation Assurance Plan	7 calendar days after WA COR approves final evaluation methodology
2-8b	Final Evaluation Assurance Plan	3 calendar days after receipt of comments via TD from WA COR

PHASE 2: INCLUDES TASKS 3 AND 4

TASK 3: INFORMATION GATHERING AND ANALYSIS (INCOMPLETE) *[Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10 -11)]*

- 3-1 INFORMATION GATHERING. (INCOMPLETE)
The information that is needed to conduct this evaluation will come from a variety of sources including the information identified and collected in the original approved WA, Task 2-3 and included in the final methodology 2-7b. Within 7 calendar days after the WA COR approves the evaluation methodology (via TD), the contractor shall begin the data collection process specified in the approved evaluation methodology. The data

collection will end in accordance with the schedule included in the evaluation methodology.

Under this amended WA, the contractor shall conduct additional information gathering to include both a nationwide overview of the experiences of small municipal separate stormwater system, and in-depth analysis of specific regional cases.

The original WA specified a combination of 10-15 interviews with national experts and in-depth case studies. We now anticipate interviews with 3-4 additional national or regional experts, as well as 5-6 additional cases identified for in-depth analyses (*WA Amendment 2-33 for this Task approved 26 July 12*). The interviews with national/regional experts will be used to further the evaluation's understanding of key cross-cutting factors, issues and challenges as well as identify potential cases for in-depth analysis. The additional cases will focus on specific approaches, practices and challenges faced by municipalities as they decide on approaches to funding stormwater utilities. For both the overview and case-specific work, the primary means of information gathering are anticipated to be interviews and document/information review.

Interviews

As with the original WA, the IEC/Ross team will conduct interviews via telephone, email, and/or in person with national experts and those involved in specific, local efforts. The IEC/Ross team shall follow the interview/discussion guides previously developed under Task 2-7 of the original WA. The interviews will take place in conjunction with a planned Region 1 symposium on stormwater issues (scheduled for late June 2012). The interviews will adhere to any applicable Paperwork Reduction Act requirements.

EPA has learned that the expected number of participants for the Region 1 symposium has increased significantly, so this amended WA also budgets additional resources for contractor activities associated with travel, presentation and note-taking at the Region 1 symposium in June 2012. During the symposium, the contractor shall capture and summarize comments from experts participating in panel discussions.

3-2 DISCUSSION OF DATA COMPILATION, ANALYSIS, AND PRESENTATION. (INCOMPLETE)

In accordance with the evaluation methodology schedule, the contractor shall meet via conference call with the WA COR and other Agency staff to present and discuss approaches to and preliminary results of data compilation, analysis, and presentation of the information. Prior to this call and for discussion during the call, the contractor shall provide the WA COR with a briefing memo that outlines preliminary findings for each evaluation question, overall preliminary recommendations/conclusions.

Deliverables and Schedule Under Task 3

3-2a	Discuss data compilation, analysis and presentation	In accordance with Methodology Schedule approved in Task 2-7b
3-2b	Briefing memo of preliminary findings	In accordance with Methodology Schedule approved in Task 2-7b

TASK 4: REPORTS (INCOMPLETE)

[Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10 -11)]

Additional hours are added to this amended WA under Tasks 4-1 thru 4-3 to account for the additional effort required to include findings from Task 3 in the Final Report.

4-1 DRAFT BRIEFING WITH GRAPHICS. (INCOMPLETE)

The contractor shall submit a briefing packaged that follows the final report outline. It shall cover the key points to be contained in each section of the report and should summarize the essence of the report before the report is written. The contractor shall present the draft briefing for discussion and comment to the evaluation team and key stakeholders via teleconference. For purposes of costing, the contractor shall assume that two separate draft briefings will be required.

4-2 DRAFT REPORT. (INCOMPLETE)

In accordance with the evaluation methodology schedule, the contractor shall submit a draft report containing, the compilation, analysis, and presentation of information developed and gathered during the conduct of the evaluation. Specifically, the contractor shall include information obtained or developed in support of Tasks 2-1 through 3-2. For purposes of costing, the contractor shall assume that a sequence of a draft preliminary findings memorandum and two separate draft reports will be required.

4-3 FINAL REPORT. (INCOMPLETE)

The contractor shall provide a final report that reflects appropriate consideration of the Agency's comments on the draft report and of any comments received during the oral presentations. The WA COR will provide the contractor with a copy of the ESD's Report Style Guidelines. These guidelines shall be used to write all components of the evaluation report. In addition, the contractor shall use the ESD Report Cover provided by the WA COR when preparing the final report.

Deliverables and Schedule Under Task 4

4-1	Draft briefing with graphics	In accordance with the evaluation methodology schedule approved by the COR in task 2-7b.
4-2	Draft report	In accordance with the evaluation methodology schedule approved by the COR in task 2-7b.
4-3	Final report	14 calendar days after receipt of comments on the draft report and oral presentations.

Table 1: Summary of Deliverables and Dates		
Task	Deliverable	Due Date
Task 1 Prepare Work plan		
1a	Work plan	Within 15 calendar days of receipt of work assignment
1b	Revised work plan	Within 5 calendar days of receipt of comments from CO
Task 3 Information Gathering and Analysis		
3-2	Discussion of Data Compilation, Analysis and Presentation Plan	In accordance with Methodology Schedule approved in Task 2-7b of original WA
Task 4 Report		
4-1	Draft briefing with graphics	In accordance with Methodology Schedule approved in Task 2-7b
4-2	Draft Report	In accordance with Methodology Schedule approved in Task 2-7b
4-3	Final Report	14 calendar days after receipt of comments on Draft Report from WA COR

EPA United States Environmental Protection Agency Washington, DC 20460 Work Assignment		Work Assignment Number 3 33								
		<input type="checkbox"/> Other <input checked="" type="checkbox"/> Amendment Number: 000001								
Contract Number WP-W-10-002	Contract Period 11/19/2009 To 09/19/2014	Title of Work Assignment/SF Site Name RI Stormwater Eval								
Contractor INDUSTRIAL ECONOMICS, INCORPORATED		Specify Section and paragraph of Contract: SOW Pg. 10-11, element 3, Sec. 1/Para. 1								
Purpose: <input type="checkbox"/> Work Assignment: <input type="checkbox"/> Work Assignment Close Out <input checked="" type="checkbox"/> Work Assignment Amendment <input type="checkbox"/> Incremental Funding <input type="checkbox"/> Work Plan Approval		Period of Performance From: 09/20/2012 To 12/31/2012								
Comments: The purpose of this amendment to Work Assignment (WA) 3-33 is to revise the WA period of performance end date. The end date is hereby changed to December 31, 2012.										
<input type="checkbox"/> Superfund		Accounting and Appropriations Data								
		<input checked="" type="checkbox"/> Non-Superfund								
SFO (Max 2) <input type="checkbox"/>		Note: To report additional accounting and appropriations data use EPA Form 1900-69A.								
Line	DCN (Max 6)	Budget/FY (Max 4)	Appropriation Code (Max 6)	Budget Org/Code (Max 7)	Program Element (Max 9)	Object Class (Max 4)	Amount (Dollars)	(Cents)	Site/Project (Max 8)	Cost Org/Code (Max 7)
1										
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5										
Authorized Work Assignment Ceiling										
Contract Period 11/19/2009 to 09/19/2014		Cost/Fee:		LOE:						
This Action:										
Total:										
Work Plan / Cost Estimate Approvals										
Contractor WP Dated:		Cost/Fee:		LOE:						
Cumulative Approved:		Cost/Fee:		LOE:						
Work Assignment Manager Name Carl Koch						Branch/Mail Code:				
_____ (Signature)						_____ (Date)				
Project Officer Name Cheryl R. Brown						Phone Number 202-566-2972				
_____ (Signature)						_____ (Date)				
Other Agency Official Name						Branch/Mail Code:				
_____ (Signature)						_____ (Date)				
Contracting Official Name Stefan Martinyan						Phone Number: 202-566-1987				
_____ (Signature)						_____ (Date)				
						FAX Number:				

EPAUnited States Environmental Protection Agency
Washington, DC 20460**Work Assignment**

Work Assignment Number

3-33



Other



Amendment Number:

Contract Number

WP-W-1C-C02

Contract Period 11/19/2009 To 09/19/2014

Base

Option Period Number 3

Title of Work Assignment/SF Site Name

R1 Stormwater Eval

Contractor

INDUSTRIAL ECONOMICS, INCORPORATED

Specify Section and paragraph of Contract SOW

Pg. 10-11. element 3, Sec. 1/Para.1

Purpose:



Work Assignment



Work Assignment Close Out



Work Assignment Amendment



Incremental Funding



Work Plan Approval

Period of Performance

From 09/20/2012 to 12/31/2012

Comments:

The purpose of this section to Work Assignment (WA) 3-33 is to approve the contractor's work plan budget estimate dated October 24, 2012 for Option Year 3 with an estimated cost of (b)(4) Fixed Fee of (b)(4) for a ceiling of \$39,357.26, and 276.2 level of effort hours for this WA.



Superfund

Accounting and Appropriations Data



Non-Superfund

SFO
(Max 2)

Note: To report additional accounting and appropriations data use EPA Form 1900-69A.

Line	DCN (Max 6)	Budget/FY (Max 4)	Appropriation Code (Max 6)	Budget Org/Code (Max 7)	Program Element (Max 9)	Object Class (Max 4)	Amount (Dollars)	(Cents)	Site/Project (Max 8)	Cost Org/Code (Max 7)
1										
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4										
5										

Authorized Work Assignment Ceiling

Contract Period:

Cost/Fee:

LOE:

11/19/2009 To 09/19/2014

This Action

Total:

Work Plan / Cost Estimate Approvals

Contractor W/P Dated: 10/24/2012

Cost/Fee: \$39,357.26

LOE: 276

Cumulative Approved:

Cost/Fee: \$39,357.26

LOE: 276

Work Assignment Manager Name Carl Koch

(Signature)

(Date)

Branch/Mail Code:

Phone Number 202-566-2972

FAX Number:

Project Officer Name Cheryl R. Brown

(Signature)

(Date)

Branch/Mail Code:

Phone Number: 202-566-0940

FAX Number:

Other Agency Official Name

(Signature)

(Date)

Branch/Mail Code:

Phone Number:

FAX Number:

Contracting Official Name Stefan Martiyan

(Signature)

(Date)

Branch/Mail Code:

Phone Number: 202-564-1987

FAX Number:

EPAUnited States Environmental Protection Agency
Washington, DC 20460**Work Assignment**

Work Assignment Number

3-33

☐ Other ☒ Amendment Number:

000002

Contract Number

EP-W-10-002

Contract Period 11/19/2009 To 09/19/2014

Base

Option Period Number 3

Title of Work Assignment/SF Site Name

R1 Stormwater Eval

Contractor

INDUSTRIAL ECONOMICS, INCORPORATED

Specify Section and paragraph of Contract SOW

Pg. 10-11. element 3, Sec. 1/Para.1

Purpose

☐

Work Assignment

☐

Work Assignment Close-Out

☒

Work Assignment Amendment

☐

Incremental Funding

☐

Work Plan Approval

Period of Performance

From 09/20/2012 To 02/28/2013

Comments:

The purpose of this amendment to Work Assignment (WA) 3-33 is to extend the WA performance period end date to February 28, 2013.

☐

Superfund

Accounting and Appropriations Data

☒

Non-Superfund

SFO
(Max 2)☐

Note: To report additional accounting and appropriations data use EPA Form 1900-69A.

Line	DCN (Max 6)	Budget/FY (Max 4)	Appropriation Code (Max 6)	Budget Org/Code (Max 7)	Program Element (Max 9)	Object Class (Max 4)	Amount (Dollars)	(Cents)	Site/Project (Max 8)	Cost Org/Code (Max 7)
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Authorized Work Assignment Ceiling

Contract Period:

Cost/Fee:

LOE:

11/19/2009 To 09/19/2014

This Action:

Total:

Work Plan / Cost Estimate Approvals

Contractor WP Dated:

Cost/Fee:

LOE:

Cumulative Approved:

Cost/Fee:

LOE:

Work Assignment Manager Name Carl Koch

Branch/Mail Code:

Phone Number 202-566-2972

FAX Number:

(Signature)

(Date)

Project Officer Name Cheryl R. Brown

Branch/Mail Code:

Phone Number: 202-566-0940

FAX Number:

(Signature)

(Date)

Other Agency Official Name

Branch/Mail Code:

Phone Number:

FAX Number:

(Signature)

(Date)

Contracting Official Name Stefan Martiyan

Branch/Mail Code:

Phone Number: 202-564-1987

FAX Number:

(Signature)

(Date) 11/30/12

EPAUnited States Environmental Protection Agency
Washington, DC 20460**Work Assignment**

Work Assignment Number

3-33

☐ Other ☐ Amendment Number:

Contract Number

EP-W-10-002

Contract Period 11/19/2009 To 09/19/2014

Base Option Period Number 3

Title of Work Assignment/SF Site Name

RI Stormwater Eval

Contractor

INDUSTRIAL ECONOMICS, INCORPORATED

Specify Section and paragraph of Contract SOW

Pg. 10-11. element 3, Sec. 1/Para.1

Purpose

☐

Work Assignment

☐

Work Assignment Close-Out

☐

Work Assignment Amendment

☐

Incremental Funding

☒

Work Plan Approval

Period of Performance

From 09/20/2012 To 02/28/2013

Comments:

The purpose of this action to Work Assignment (WA) 3-33 is to approve the contractor's revised work plan dated December 6, 2012 for a no cost reallocation of level of effort hours.

☐

Superfund

Accounting and Appropriations Data

☒

Non-Superfund

SFO
(Max 2)☐

Note: To report additional accounting and appropriations data use EPA Form 1900-69A.

Line	DCN (Max 6)	Budget/FY (Max 4)	Appropriation Code (Max 6)	Budget Org/Code (Max 7)	Program Element (Max 9)	Object Class (Max 4)	Amount (Dollars)	(Cents)	Site/Project (Max 8)	Cost Org/Code (Max 7)
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Authorized Work Assignment Ceiling

Contract Period:

Cost/Fee:

LOE:

11/19/2009 to 09/19/2014

This Action

Total:

Work Plan / Cost Estimate Approvals

Contractor WP Dated: 12/06/2012

Cost/Fee: \$0.00

LOE: 0

Cumulative Approved:

Cost/Fee: \$39,357.26

LOE: 276

Work Assignment Manager Name Carl Koch

Branch/Mail Code:

Phone Number 202-566-2972

FAX Number:

(Signature)

(Date)

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Phone Number: 202-566-0940

FAX Number:

(Signature)

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Other Agency Official Name

Branch/Mail Code:

Phone Number:

FAX Number:

(Signature)

(Date)

Contracting Official Name Stefan Martiyan

Branch/Mail Code:

Phone Number: 202-564-1987

FAX Number:

(Signature)

(Date) 12/20/12

EPAUnited States Environmental Protection Agency
Washington, DC 20460**Work Assignment**

Work Assignment Number

3-33

☐ Other ☐ Amendment Number:

Contract Number

EP-W-10-002

Contract Period 11/19/2009 To 09/19/2014

Base

Option Period Number 3

Title of Work Assignment/SF Site Name

R1 Stormwater Eval

Contractor

INDUSTRIAL ECONOMICS, INCORPORATED

Specify Section and paragraph of Contract SOW

Pg. 10-11, element 3, Sec. 1/Para.1

Purpose:



Work Assignment



Work Assignment Close-Out



Work Assignment Amendment



Incremental Funding



Work Plan Approval

Period of Performance

From 09/20/2012 To 02/28/2013

Comments:

The purpose of this action to Work Assignment 3-33 is to approve the contractor's revised work plan requesting a reallocation of estimated cost, fixed fee and level of effort hours, dated January 16, 2013.



Superfund

Accounting and Appropriations Data



Non-Superfund

SFO
(Max 2)

Note: To report additional accounting and appropriations data use EPA Form 1900-69A

Line	DCN (Max 6)	Budget/FY (Max 4)	Appropriation Code (Max 6)	Budget Org/Code (Max 7)	Program Element (Max 9)	Object Class (Max 4)	Amount (Dollars)	(Cents)	Staff/Project (Max 8)	Cost Org/Code (Max 7)
1										
2										
3										
4										
5										

Authorized Work Assignment Ceiling

Contract Period

Cost/Fee:

LOF:

11/19/2009 To 09/19/2014

This Action:

Total:

Work Plan / Cost Estimate Approvals

Contractor WP Dated: 01/15/2013

Cost/Fee: \$39,357.26

LOF: 276

Cumulative Approved

Cost/Fee: \$39,357.26

LOF: 276

Work Assignment Manager Name Carl Koch

Branch/Mail Code:

(Signature)

(Date)

Phone Number 202-566-2972

FAX Number:

Project Officer Name Cheryl R. Brown

Branch/Mail Code:

(Signature)

(Date)

Phone Number: 202-566-0940

FAX Number:

Other Agency Official Name

Branch/Mail Code:

(Signature)

(Date)

Phone Number:

FAX Number:

Contracting Official Name Stefan Yarniyan

Branch/Mail Code:

(Signature)

(Date)

Phone Number: 202-564-1987

FAX Number:

EPAUnited States Environmental Protection Agency
Washington, DC 20460**Work Assignment**

Work Assignment Number

3-33

☐ Other ☒ Amendment Number:

000003

Contract Number

EP-W-10-002

Contract Period 11/19/2009 To 09/19/2014

Base

Option Period Number 3

Title of Work Assignment/SF Site Name

RI Stormwater Eval

Contractor

INDUSTRIAL ECONOMICS, INCORPORATED

Specify Section and paragraph of Contract SOW

Pg. 10-11, element 3, Sec. 1/Para.1

Purpose:

☐

Work Assignment

☐

Work Assignment Close-Out

☒

Work Assignment Amendment

☐

Incremental Funding

☐

Work Plan Approval

Period of Performance

From 09/20/2012 To 04/30/2013

Comments:

The purpose of this amendment to Work Assignment (WA) 3-33 is to revise Tasks 3-4 and to increase level of effort hours as provided in the revised WA Statement of Work. The contractor shall provide a work plan and budget estimate in accordance with the contract.

☐

Superfund

Accounting and Appropriations Data

☒

Non-Superfund

SFO
(Max 2)☐

Note: To report additional accounting and appropriations data use EPA Form 1900-69A.

Line	DCN (Max 6)	Budget/FY (Max 4)	Appropriation Code (Max 6)	Budget Org/Code (Max 7)	Program Element (Max 8)	Object Class (Max 4)	Amount (Dollars)	(Cents)	Site/Project (Max 8)	Cost Org/Code (Max 7)
1										
2										
3										
4										
5										

Authorized Work Assignment Ceiling

Contract Period:

Cost/Fee:

LOE:

11/19/2009 To 09/19/2014

This Action:

Total:

Work Plan / Cost Estimate Approvals

Contractor WP Dated:

Cost/Fee:

LOE:

Cumulative Approved:

Cost/Fee:

LOE:

Work Assignment Manager Name Carl Koch

(Signature)

(Date)

Branch/Mail Code:

Phone Number 202-566-2972

FAX Number:

Project Officer Name Cheryl R. Brown

(Signature)

(Date)

Branch/Mail Code:

Phone Number 202-566-0940

FAX Number:

Other Agency Official Name

(Signature)

(Date)

Branch/Mail Code:

Phone Number:

FAX Number:

Contracting Official Name Stefan Martiwan

(Signature)

(Date)

Branch/Mail Code:

Phone Number 202-564-1987

FAX Number:

Work Assignment Statement of Work - Amended

Title: Effective Approaches to Establishing Municipal Stormwater Funding Mechanisms (Region 1)

Contractor: IEc, Inc.

Contract No.: EP-W-10-002

Work Assignment Number: 3-33

Estimated Period of Performance: September 20, 2012 to April 30, 2013

Estimated Level of Effort: 87 hours

Key EPA Personnel:

Work Assignment COR (WA COR): Carl Koch
Office of Policy
U.S. EPA
1200 Pennsylvania Av., N.W.
Washington, D.C. 20460
202-566-2972 (phone)
(202) 566-2200 (FAX)
Mail Code: 1807-T
E-mail: Koch.carl@epa.gov

Contract Level COR: Cheryl R. Brown
CMG/OP (1805T)
202/566-0940
202/566-3001 (fax)

BACKGROUND AND PURPOSE:

Located within the Office of Policy (OP)'s Office of Strategic Environmental Management is the Evaluation Support Division (ESD). ESD's mission is to build the capacity of EPA staff and managers to conduct program evaluation activities throughout the Agency by providing technical support and training on program evaluation for EPA's national programs and regional offices. A crucial component in assessing the benefit of meeting goals, objectives, and sub-objectives is having measurable results.

As part of its effort to encourage the effective use of program evaluations throughout the Agency, ESD promotes program evaluation through a Program Evaluation Competition (PEC or Competition). This Competition is part of an ongoing, long-term effort to help build the capacity of headquarters and regional offices to evaluate activities and to improve measures of program performance. This program evaluation project was chosen for support under the current Program Evaluation Competition sponsored by OP.

There are major challenges faced by small municipal separate storm sewer systems (MS4) in forging consensus and managing complicated negotiations associated with the development of

funding mechanisms for stormwater utilities. Many MS4 municipalities do not have the expertise to design or run such processes, and EPA lacks objective information about what are (and are not) effective strategies for forging consensus in the development of these funding mechanisms.

EPA Region 1, with the Office of Water's full support, is proposing an objective evaluation that focuses on the processes that communities have undertaken to involve members of the public and other stakeholders in reaching agreement on funding mechanisms for stormwater utilities. A rigorous evaluation will (1) document issues and challenges faced by municipalities and communities around the country, (2) identify approaches where resolutions were reached, and (3) offer guidance that other communities may need to consider as they grapple with decisions on whether or not to adopt a funding mechanism.

Evaluation questions include: What were the key issues raised by stakeholders? How were discussions set up? What kinds of groups favored or opposed the effort? How did they respond? How did the community identify a common set of interests? What processes were used to inform communities as they engaged in their discussion?

While the evaluation will help EPA Region 1 identify the factors that are proving the most critical to the development of stormwater funding mechanisms, the evaluation results will inform national efforts to identify "best practices" that lead to effective stormwater programs.

Quality Assurance (QA) Requirements

Check ☐ Yes or ☒ **NO**, if the following statement is true or false. The Contractor shall submit a written Quality Assurance Project Plan for any project that is developing environmental measurements or a Quality Assurance Supplement to the Quality Management Plan for any project which generates environmental data using models with their technical proposal.

Qualification Criteria for Personnel

The team assigned to this work assignment collectively must have expertise in the following areas:

- a. EPA OW program activities—specifically, the stormwater permit program, NPDES permits to municipalities, municipal separate storm sewer systems (MS4s), and stormwater utility funding mechanisms
- b. Evaluation of EPA programs
- c. Engagement of affected communities in EPA program work, ideally OSWER program implementation
- d. Engagement of affected communities in EPA's decision making processes
- e. Engagement of economically disadvantaged communities
- f. Processes that allow for meaningful input
- g. Formative evaluation
- h. Development of lessons and best practices

TASKS AND DELIVERABLES:

The work assignment (WA) Contracting Officer Representative (COR) will review all deliverables in draft form and provide revisions and/or comments to the contractor. The contractor shall prepare the final deliverables incorporating the WA COR's comments.

Contractor personnel shall at all times identify themselves as Contractor employees and shall not present themselves as EPA employees. Furthermore, they shall not represent the views of the U.S. Government, EPA, or its employees. In addition, the Contractor shall not engage in inherently governmental activities, including but not limited to actual determination of EPA policy and preparation of documents on EPA letterhead.

AMENDMENT PURPOSE

The purpose of this amendment is to provide additional resources to enable the contractor to: 1) revise and add more detail to case descriptions developed under Task 3 by responding to additional questions raised in reviews of the initial draft; and 2) add more hours under Task 4 for the needed review and revision of the evaluation report following briefings to Region 1 management.

The contractor shall not duplicate work performed in the previous work assignment.

PHASE 1: INCLUDES TASK 1 AND TASK 2

TASK 1: PREPARE WORKPLAN (COMPLETED)

The contractor shall prepare a workplan that addresses amended work under Phase 2 within 15 calendar days of receipt of a work assignment signed by the Contracting Officer (CO). The workplan shall outline, describe and include the technical approach, resources, timeline and due dates for deliverables, and a detailed cost estimate by task and a staffing plan for the additional work. The WA COR and the Contract Level COR and the CO will review the workplan. However, only the CO can approve/ disapprove the workplan. The contractor shall prepare a revised workplan incorporating the Contracting Officer's comments, if required.

Deliverables and Schedule Under Task 1

- | | |
|----------------------|---|
| 1a. Workplan | Within 15 calendar days of receipt of work assignment. |
| 1b. Revised workplan | Within 5 calendar days of receipt of comments from the CO, if required. |

NOTE REGARDING WORK ASSIGNMENT DELIVERABLES AND TECHNICAL DIRECTION:

The Work Assignment Contracting Officer's Representative (COR) is authorized to issue technical direction (TD) under this work assignment. The COR will follow-up all oral technical direction in writing within 5 days.

TASK 2: DOCUMENT REVIEW AND DESIGN METHODOLOGY (COMPLETED)

[Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10 -11)]

No additional work under this amendment

- 2-1 PARTICIPATE IN A CONFERENCE CALL. The contractor shall participate in a conference call with the WA COR and other Agency staff to clarify the purpose of the evaluation report and to exchange ideas about the design of the assessment, the information to be collected, potential sources of information, appropriate ways to analyze and present the information, and other pertinent matters. The COR will contact the contractor and provide the time and date for the conference call. Within 3 calendar days, the contractor shall deliver a basic summary of the discussion and decisions reached during the call. For purposes of costing the contractor shall assume two one-hour conference calls.
- 2-2 REVIEW DOCUMENTS. The WA COR will provide the contractor with relevant links and essential documents to become familiar with the history, goals and status of each program activity to be evaluated. In addition, the contractor shall conduct a literature review to determine if any existing evaluations, studies or analysis of the program have been conducted. The contractor is expected to seek out other documents for review, including those from government and non-government sources, to become familiar with all aspects of the program that are relevant to this evaluation effort. The contractor shall complete a review of these documents seven (7) calendar days after receiving them. The contractor shall also prepare and submit to the WA COR a bibliography and summary of the findings from the document and literature review. The contractor shall revise and update the bibliography periodically as additional literature sources are identified and reviewed.
- 2-3 SCOPING TASK. The contractor shall conduct a scoping exercise to better understand and identify the data sources (qualitative and/or quantitative) and data collection methods (surveys, in-person interviews, site visits, data base review or literature review, internet search, review of progress reports, etc.) that are most appropriate for this evaluation. The contractor shall prepare a brief memo summarizing the results of this effort. The contractor shall deliver the scoping document 7 calendar days after receiving a TD from the WA COR.
- 2-4 ASSIST IN DEVELOPING A LOGIC MODEL. The development of a logic model is an essential tool in developing a common understanding of a program's inputs, outputs and activities. As an initial step in preparation for the evaluation, EPA began developing a logic model of its program. EPA will share the draft logic model with the contractor. Based on the information gathered from the conference calls, (Task 2-1) and document review (Task 2-2), the contractor will develop and submit a draft logic model using software (e.g. Microsoft Word, Power Point) that can be manipulated/revised by EPA within 7 calendar days after receipt of the draft logic model from the WA COR. The development of the logic model is an iterative process. The contractor shall finalize the logic model within 7 calendar days after receipt of comments on draft(s) of the logic model from the WA COR.

2-5 **REFINE EVALUATION QUESTIONS.** EPA is providing an initial list of draft evaluation questions for use by the contractor (see below) The EPA evaluation team has identified the following key questions to provide focus to the program evaluation. These questions, while subject to further refinement, will form the basis of the evaluation going forward. The overarching questions would likely remain consistent, but the specific questions and sub-questions would be subject to revision. Using this list, the information gathered in Tasks 2-1 and 2-2, and the logic model developed in Task 2-4, the contractor shall confer with the WA COR and evaluation team members to discuss and refine the evaluation questions that will be the subject of this evaluation. The contractor shall prepare and submit to the WA COR a revised, comprehensive set of draft evaluation questions and sub-questions that will be the subject of this evaluation. The contractor will finalize the draft questions 7 calendar days after receipt of comments from the WA COR via Technical Direction (TD).

Draft Evaluation Questions:

1. What factors are historically responsible for successes and failures of MS4s to establish dedicated stormwater program funding mechanisms?
2. What factors are considered critical to the successful creation of stormwater funding mechanisms in Region 1 and other EPA Regions?
3. What specific strategies should be selected for transferability to parties planning to create these funding mechanisms in Region 1 (includes consideration of alternative strategies - Upper Charles River pilot)?
4. What stakeholder processes were used to inform communities as they engaged in their discussions? (How were the discussions set up? Who were the critical stakeholders and what were their issues? How did the community identify a common set of interests?)

2-6 **REPORT OUTLINE.** The contractor shall submit for discussion and agreement an annotated outline describing the purpose, titles, and intended contents of the chapters and section of the Final Report. The outline shall also describe the planned length and style of the document. The outline shall be used as a reference by the evaluation team throughout the evaluation process. Modifications to the outline shall be discussed among the entire evaluation team.

2-7 **DESIGN EVALUATION METHODOLOGY.** Based on the conference calls (2-1), the document review (Task 2-2), the scoping document (Task 2-3), the final logic model (Task 2-4), and the final evaluation questions (Task 2-5), the contractor shall prepare a draft evaluation methodology, which will address the purpose, audience, and the refined questions that will be the focus of the evaluation. As part of the methodology, the contractor shall document the primary and secondary sources, collection methods and collection strategy, appropriate qualitative and quantitative tools for analyzing data, practical issues of data collection, and a clear strategy for data documentation and management needed to answer each evaluation question. The contractor shall also document any survey instruments, survey data, survey questions, and interview/discussion guides and protocols used in support of the evaluation. This methodology shall include an approach for identifying potential interviewees. The draft evaluation methodology shall also include a proposed schedule for each of the following:

(1) all information gathering under Task 3-1, including interviews; (2) the compilation, analysis and presentation of information gathered (Task 3-2), and (3) providing a report outline and the draft and final reports (Tasks 4-1, 4-2 and 4-3). The draft evaluation methodology shall be due 21 calendar days after the receipt of a TD from the WA COR. The final evaluation methodology will be due 7 calendar days after the receipt of comments from the WA COR via TD.

- 2-8 EVALUATION ASSURANCE PLAN. The contractor shall prepare an evaluation assurance plan (EAP) that describes the use of primary and/or secondary data sources for the evaluation report. Specifically, the EAP will describe: 1) the purpose of the evaluation, 2) the methodology used to collect data for the report, 3) how and where the data used for the evaluation was collected, 4) why the particular data collection method was chosen, 5) how the data will be used and by whom, 6) how the resulting evaluation report will be used and by whom, 7) any data limitations or caveats. An example of an EAP will be provided by the COR. The contractor shall submit the EAP to the WA COR one week after the final evaluation methodology is approved. A final EAP will be delivered 3 calendar days after receipt of comments from the WA COR via TD.

Deliverables and Schedule Under Task 2

2-1a	Participate in conference call	To be specified by the WA COR
2-1b	Conference call summary	3 calendar days after call
2-2	Summary of Document Review	7 calendar days after receipt of documents
2-3	Scoping Memo	7 calendar days after receipt of TD from WA COR
2-4	Finalize Logic Model	7 calendar days after receipt of draft Logic Model from WA COR
2-5a	Draft Refined Questions	7 calendar days after meeting with WA COR
2-5b	Final Refined Questions	7 calendar days after receipt of comments from WA COR via TD
2-6a	Draft Report Outline	7 calendar days after meeting with WA COR
2-6b	Final Report Outline	7 calendar days after receipt of comments from WA COR via TD
2-7a	Draft Evaluation Methodology	21 calendar days after receipt of TD from WA COR
2-7b	Final Evaluation Methodology	7 calendar days after receipt of comments from WA COR via TD
2-8a	Draft Evaluation Assurance Plan	7 calendar days after WA COR approves final evaluation methodology
2-8b	Final Evaluation Assurance Plan	3 calendar days after receipt of comments via TD from WA COR

PHASE 2: INCLUDES TASKS 3 AND 4

TASK 3: INFORMATION GATHERING AND ANALYSIS (INCOMPLETE)

3-1 **INFORMATION GATHERING. (INCOMPLETE)**

The information that is needed to conduct this evaluation will come from a variety of sources including the information identified and collected in the original approved WA, Task 2-3 and included in the final methodology 2-7b. Within 7 calendar days after the WA COR approves the evaluation methodology (via TD), the contractor shall begin the data collection process specified in the approved evaluation methodology. The data collection will end in accordance with the schedule included in the evaluation methodology.

Under this amended WA, the contractor shall conduct additional information gathering to include both a nationwide overview of the experiences of small municipal separate stormwater system, and in-depth analysis of specific regional cases.

The original WA specified a combination of 10-15 interviews with national experts and in-depth case studies. We now anticipate interviews with 3-4 additional national or regional experts, as well as 5-6 additional cases identified for in-depth analyses (*WA Amendment 2-33 for this Task approved 26 July 12*). The interviews with national/regional experts will be used to further the evaluation's understanding of key cross-cutting factors, issues and challenges as well as identify potential cases for in-depth analysis. The additional cases will focus on specific approaches, practices and challenges faced by municipalities as they decide on approaches to funding stormwater utilities. For both the overview and case-specific work, the primary means of information gathering are anticipated to be interviews and document/information review.

Interviews

As with the original WA, the IEC/Ross team will conduct interviews via telephone, email, and/or in person with national experts and those involved in specific, local efforts. The IEC/Ross team shall follow the interview/discussion guides previously developed under Task 2-7 of the original WA. The interviews will take place in conjunction with a planned Region 1 symposium on stormwater issues (scheduled for late June 2012). The interviews will adhere to any applicable Paperwork Reduction Act requirements.

EPA has learned that the expected number of participants for the Region 1 symposium has increased significantly, so this amended WA also budgets additional resources for contractor activities associated with travel, presentation and note-taking at the Region 1 symposium in June 2012. During the symposium, the contractor shall capture and summarize comments from experts participating in panel discussions.

3-2 **DISCUSSION OF DATA COMPILATION, ANALYSIS, AND PRESENTATION. (INCOMPLETE)**

In accordance with the evaluation methodology schedule, the contractor shall meet via conference call with the WA COR and other Agency staff to present and discuss approaches to and preliminary results of data compilation, analysis, and presentation of the information. Prior to this call and for discussion during the call, the contractor shall provide the WA COR with a briefing memo that outlines preliminary findings for each evaluation question, overall preliminary recommendations/conclusions.

- Following presentation of preliminary findings, the review team concluded that additional detail and fact checking were needed concerning the primary case studies used in the evaluation. These details were considered necessary to enhance the value of the evaluation to the intended audience. The contractor shall provide the additional detail and conduct the necessary fact checking for the eleven case studies identified in earlier drafts

Deliverables and Schedule Under Task 3

3-2a	Discuss data compilation, analysis and presentation	In accordance with Methodology Schedule approved in Task 2-7b
3-2b	Briefing memo of preliminary findings	In accordance with Methodology Schedule approved in Task 2-7b

TASK 4: REPORTS (INCOMPLETE)

[Contract Scope of Work Element III, Section 1, para(s) 1, page(s) (10 -11)]

Additional hours are added to this amended WA under Tasks 4-1 thru 4-3 to account for the additional effort required to include findings from Task 3 in the Final Report.

4-1 DRAFT BRIEFING WITH GRAPHICS. (INCOMPLETE)

The contractor shall submit a briefing packaged that follows the final report outline. It shall cover the key points to be contained in each section of the report and should summarize the essence of the report before the report is written. The contractor shall present the draft briefing for discussion and comment to the evaluation team and key stakeholders via teleconference. For purposes of costing, the contractor shall assume that two separate draft briefings will be required.

4-2 DRAFT REPORT. (INCOMPLETE)

In accordance with the evaluation methodology schedule, the contractor shall submit a draft report containing, the compilation, analysis, and presentation of information developed and gathered during the conduct of the evaluation. Specifically, the contractor shall include information obtained or developed in support of Tasks 2-1 through 3-2. For purposes of costing, the contractor shall assume that a sequence of a draft preliminary findings memorandum and two separate draft reports will be required.

- Extensive revision and restructuring comments to the draft document by the evaluation team requires another round of review and editing by the contractor; additional revision/rewriting will also be required to reflect those considerations in a final executive summary. The contractor shall develop another draft document responding to comments and edits identified by the evaluation team.

4-3 FINAL REPORT. (INCOMPLETE)

The contractor shall provide a final report that reflects appropriate consideration of the Agency's comments on the draft report and of any comments received during the oral presentations. The WA COR will provide the contractor with a copy of the ESD's Report Style Guidelines. These guidelines shall be used to write all components of the evaluation report. In addition, the contractor shall use the ESD Report Cover provided by the WA COR when preparing the final report.

Deliverables and Schedule Under Task 4

4-1	Draft briefing with graphics	In accordance with the evaluation methodology schedule approved by the COR in task 2-7b.
4-2.a	Draft reports	In accordance with the evaluation methodology schedule approved by the COR in task 2-7b.
4-2.b	Final Draft report	As specified via Technical Directive.
4-3	Final report	14 calendar days after receipt of comments on the draft report and oral presentations.

Table 1: Summary of Deliverables and Dates		
Task	Deliverable	Due Date
Task 1 Prepare Work plan		
1a	Work plan	Within 15 calendar days of receipt of work assignment
1b	Revised work plan	Within 5 calendar days of receipt of comments from CO
Task 3 Information Gathering and Analysis		
3-2	Discussion of Data Compilation, Analysis and Presentation Plan	In accordance with Methodology Schedule approved in Task 2-7b of original WA
Task 4 Report		
4-1	Draft briefing with graphics	In accordance with Methodology Schedule approved in Task 2-7b
4-2-a.	Draft Report	In accordance with Methodology Schedule approved in Task 2-7b
4-2-b.	Final Draft Report	As specified via Technical Directive
4-3	Final Report	14 calendar days after receipt of comments on Draft Report from WA COR

EPAUnited States Environmental Protection Agency
Washington, DC 20460**Work Assignment**

Work Assignment Number

3-33

☐ Other☐ Amendment Number:

Contract Number

EP-W-10-002

Contract Period 11/19/2009 To 09/19/2014

Base

Option Period Number 3

Title of Work Assignment/SF Site Name

R1 Stormwater Eval

Contractor

INDUSTRIAL ECONOMICS, INCORPORATED

Specify Section and paragraph of Contract SOW

Pg. 10 11. element 3, Sec. 1/Para.1

Purpose:



Work Assignment



Work Assignment Close-Out:



Work Assignment Amendment



Incremental Funding



Work Plan Approval

Period of Performance

From: 09/20/2012 to 04/30/2013

Comments:

The purpose of this action to Work Assignment 3-33 is to approve the contractor's work plan dated February 21, 2013 for an additional 71 level of effort hours, (b)(4) in estimated cost, and (b)(4) in fixed fee, for a total additional amount of \$10,630.35.



Superfund

Accounting and Appropriations Data



Non-Superfund

SFO

(Max 2)



Note: To report additional accounting and appropriations data use EPA Form 1900-69A.

Line	DCN (Max 6)	Budget/FY (Max 4)	Appropriation Code (Max 6)	Budget Org/Code (Max 7)	Program Element (Max 3)	Object Class (Max 4)	Amount (Dollars)	(Cents)	Site/Project (Max 8)	Cost Org/Code (Max 7)
1										
2										
3										
4										
5										

Authorized Work Assignment Ceiling

Contract Period:

11/19/2009 To 09/19/2014

Cost/Fee: \$39,357.26

LOE: 276

This Action:

\$10,630.35

71

Total:

\$49,987.61

347

Work Plan / Cost Estimate Approvals

Contractor WP Dated:

02/21/2013

Cost/Fee: \$10,630.35

LOE: 71

Cumulative Approved:

Cost/Fee: \$49,987.61

LOE: 347

Work Assignment Manager Name Carl Koch

Branch/Mail Code:

(Signature)

(Date)

Phone Number 202-566-2972

FAX Number:

Project Officer Name Cheryl R. Brown

Branch/Mail Code:

(Signature)

(Date)

Phone Number 202-566-0940

FAX Number:

Other Agency Official Name

Branch/Mail Code:

(Signature)

(Date)

Phone Number:

FAX Number:

Contracting Official Name Stefan Martivan

Branch/Mail Code:

(Signature)

(Date)

Phone Number 202-564-1987

FAX Number:

EPAUnited States Environmental Protection Agency
Washington, DC 20460**Work Assignment**

Work Assignment Number

3 33

☐ Other☒ Amendment Number:

000004

Contract Number

EP-W-10 002

Contract Period 11/19/2009 To 09/19/2014

Base

Option Period Number 3

Title of Work Assignment/SF Site Name

RI Storm Eval

Contractor

INDUSTRIAL ECONOMICS, INCORPORATED

Specify Section and paragraph of Contract SOW

PG. 10-11 element 3, Sec. 1/Para.1

Purpose:

☐

Work Assignment

☐

Work Assignment Close Out

☒

Work Assignment Amendment

☐

Incremental Funding

☐

Work Plan Approval

Period of Performance

From 09/20/2012 To 05/31/2013

Comments:

The purpose of this amendment to Work Assignment (WA) 3-33 is to approve the contractor's request dated April 10, 2013 to extend the WA period of performance end date to May 31, 2013 at no additional cost to the Government.

☐

Superfund

Accounting and Appropriations Data

☒

Non-Superfund

SFO
(Max 2)☐

Note: To report additional accounting and appropriations data use EPA Form 1900-69A.

Line	DCN (Max 6)	Budget/FY (Max 4)	Appropriation Code (Max 6)	Budget Org/Code (Max 7)	Program Element (Max 9)	Object Class (Max 4)	Amount (Dollars)	(Cents)	SFO/Project (Max 8)	Cost Org/Code (Max 7)
1										
2										
3										
4										
5										

Authorized Work Assignment Ceiling

Contract Period:

Cost/Fee:

LOE:

11/19/2009 To 09/19/2014

This Action:

Total:

Work Plan / Cost Estimate Approvals

Contractor WP Dated:

Cost/Fee:

LOE:

Cumulative Approved:

Cost/Fee:

LOE:

Work Assignment Manager Name Carl Koch

Branch/Mail Code:

(Signature)

(Date)

Phone Number 202-566-2972

FAX Number:

Project Officer Name Cheryl R. Brown

Branch/Mail Code:

(Signature)

(Date)

Phone Number 202-566-0940

FAX Number:

Other Agency Official Name

Branch/Mail Code:

(Signature)

(Date)

Phone Number:

FAX Number:

Contracting Official Name Steven MacLennan

Branch/Mail Code:

(Signature)

(Date)

Phone Number 202-564-1987

FAX Number:

EPA United States Environmental Protection Agency Washington, DC 20460 Work Assignment		Work Assignment Number 3-33								
		<input type="checkbox"/> Other <input checked="" type="checkbox"/> Amendment Number: 000005								
Contract Number EP-W-10 002	Contract Period 11/19/2009 To 09/19/2014 Base Option Period Number 3	Title of Work Assignment/SF Site Name RI Storm Eval								
Contractor INDUSTRIAL ECONOMICS, INCORPORATED		Specify Section and paragraph of Contract SOW PG. 10-1. element 3, Sec. 1/Para.1								
Purpose: <input type="checkbox"/> Work Assignment <input type="checkbox"/> Work Assignment Close Out: <input checked="" type="checkbox"/> Work Assignment Amendment <input type="checkbox"/> Incremental Funding <input type="checkbox"/> Work Plan Approval		Period of Performance From 09/20/2012 to 06/30/2013								
Comments: The purpose of this amendment to Work Assignment (WA)3-33 is to extend the WA period of performance to June 30, 2013 as requested by letter from EEO dated May 14, 2013 at no additional cost to the Government.										
<input type="checkbox"/> Superfund Accounting and Appropriations Data <input checked="" type="checkbox"/> Non-Superfund										
SFO (Max 2) <input type="checkbox"/> Note: To report additional accounting and appropriations data use EPA Form 1900-69A.										
Line	DCN (Max 6)	Budget/FY (Max 4)	Appropriation Code (Max 6)	Budget Org/Code (Max 7)	Program Element (Max 9)	Object Class (Max 4)	Amount (Dollars)	(Cents)	Site/Project (Max 8)	Cost Org/Code (Max 7)
1										
2										
3										
4										
5										
Authorized Work Assignment Ceiling										
Contract Period		Cost/Fee:		LOE:						
11/19/2009 to 09/19/2014										
This Action										
Total:										
Work Plan / Cost Estimate Approvals										
Contractor W/P Dated:		Cost/Fee:		LOE:						
Cumulative Approved:		Cost/Fee:		LOE:						
Work Assignment Manager Name Carl Koch						Branch/Mail Code:				
_____ (Signature)						_____ (Date)				
Project Officer Name Cheryl R. Brown						Branch/Mail Code:				
_____ (Signature)						_____ (Date)				
Other Agency Official Name						Branch/Mail Code:				
_____ (Signature)						_____ (Date)				
Contracting Official Name Stefan Martiyan						Branch/Mail Code:				
_____ (Signature)						_____ (Date)				
						Branch/Mail Code:				
						Phone Number: 202-566-2972				
						FAX Number:				
						Branch/Mail Code:				
						Phone Number: 202-566-0940				
						FAX Number:				
						Branch/Mail Code:				
						Phone Number: 202-566-1987				
						FAX Number:				